

Senior Advisor, SO-0301

Position Number: 0ED0305

Introductory Statement: The incumbent serves as a senior officer in the Office of the Executive Director, with responsibility for providing the agency with expert management advice, consultation and assistance in the work of the office. This includes advising senior management on human resources and administrative services programs and practices.

Human Resources Management 25%

Performs the human resource management functions relative to the staff supervised. Establishes performance expectations for staff members, which are clearly communicated. Provides informal feedback and periodically evaluates staff on organizational performance. Resolves informal complaints and grievances. Takes personnel actions as necessary. Provides advice and counsel to staff members and subordinate managers related to work and policy matters. Effects disciplinary measures. Reviews and approves or disapproves leave requests. Assures that organization staff at all levels is trained and fully comply with the provisions of the safety regulations.

The executive is responsible for furthering the goals of equal employment opportunity (EEO) by taking positive steps to ensure the accomplishment of affirmative action objectives and by adhering to nondiscriminatory employment practices in regard to race, color, religion, sex, national origin, age, or handicap. Specifically, incumbent initiates nondiscriminatory practices and affirmative action for the area under his/her direction in the following: (1) merit promotion of employees and recruitment and hiring of applicants; (2) fair treatment of all employees; (3) encouragement and recognition of employee achievements; (4) career development of employees; and (5) full utilization of their skills.

Advice and Guidance 25%

Serves as a representative of the Executive Director, providing a full range of coordination and advisory services for both internal and external responsibilities. Counsels senior management staff and officials at multiple levels of SEC; senior staff of other Federal, state, and local government agencies; and private sector clients and vendors on agency matters. Advises on the appropriate methods and techniques to use in order to achieve program goals and objectives.

Serves as an adviser to the Executive Director on a wide range of matters concerning new and innovative administrative, management programs, processes and systems for consideration by agency management.

Liaison and Public Contact 25%

Establishes and maintains effective working relationships with various high-level individuals, including Members of Congress and their staff, other legislative and executive agencies, executives of major corporations, and distinguished members of the public. Establishes and maintains close and cooperative working relationships with agency or department management and officials, government agencies, and other institutions with related interests, in order to advance the programs and objectives of SEC.

Acts as liaison between the Office of the Executive Director and the Chairman and other Division and Staff Offices for the purpose of coordinating high sensitive or critical work being done on a

particular project or program within the Commission.

Communicates with the management team on the status of different work activities and efforts. Reports regularly on the effectiveness of specific programs.

Actively participates in boards and committees as the representative of SEC in dealing with matters which extend well beyond the assigned program responsibility. Serves as the principal representative and consultant for the agency at interagency and international meetings dealing with issues and information in the area of expertise and program responsibility.

Program Management and Oversight 25%

Has overall responsibility, as well as delegated authority, for the oversight and administration of broad, emerging, and/or critical agency programs or operations. Primarily responsible for the direction and management of large-scale agency programs and operations to efficiently achieve specified goals and objectives.

Supports the U.S. Securities and Exchange Commission in its goal to be known as the employer of choice in the federal sector.

Works with senior management on key projects as assigned by the Executive Director.

Assesses administrative programs for the purpose of insuring efficiency and compliance with programmatic regulations and guidelines.

Assists in coordinating the establishment of short and long-range program goals and objectives, in consultation with top management of the various divisions and offices.

Promotes the spirit and practice of diversity and/or Equal Employment Opportunity programs, ensuring that the commitment to equal opportunity without regard to race, color, religion, sex, and national origin is carried forward in all aspects of Human Resources management.

Program Scope and Effect

Directs a program for which the scope of the program directed are one or more of the following: nationwide, agency-wide, industry-wide, Government-wide; directly involves the national interest or the agency's national mission; is subject to continual or intense congressional and media scrutiny or controversy or have pervasive impact on the general public; or directs critical program segments, major scientific projects, or key high level organizations with comparable scope and impact. The impact of the program managed directly involves the national interest and the agency's national mission; is subject to continual or intense congressional and media scrutiny or controversy; and has a pervasive impact on the general public.

Organizational Setting

The position is accountable to a position that is at the senior level, or equivalent or higher level; or to a position which directs a substantial GS-15 or equivalent level workload; or to a position which directs work through GS-15 or equivalent subordinate supervisors, officers, contractors, or others.

Supervisory/Managerial Authority Exercised

Exercises delegated authority to oversee the overall planning, direction, and timely execution of a program, several program segments (each of which is managed through separate subordinate organizational units), or comparable staff functions, including development, assignment, and higher level clearance of goals and objectives for supervisors or managers of subordinate organizational units or lower organizational levels. Approves multi-year and longer range work plans developed by the supervisors or managers of subordinate organizational units and subsequently manages the overall work to enhance achievement of the goals and objectives. Oversees the revision of long range plans, goals, and objectives for the work directed. Manages the development of policy changes in response to changes in levels of appropriations or other legislative changes. Manages organizational changes to the organization directed, or major changes to the structure and content of the program or program segments directed. Exercises discretionary authority to approve the allocation and distribution of funds in the organization's budget.

OR

Exercises final authority for the full range of personnel actions and organizational design proposals recommended by subordinate supervisors, although it is possible formal clearance may be required for a few actions, such as removals and incentive awards above set dollar levels.

Nature of Contacts

Contacts may take place in meetings, conferences, briefings, speeches, presentations, or oversight hearings and may require extemporaneous response to unexpected or hostile questioning. Preparation for these meetings typically includes using briefing packages or similar presentation materials that requires extensive analytical input by the employee and subordinates, and/or involves the assistance of a support staff.

Frequent contacts are comparable to any of the following:

- Influential individuals or organized groups from outside the employing agency, such as top- and mid-level corporate executives or national officers of employee organizations;
- Regional or national officers or comparable representatives of trade associations, public action groups, or professional organizations of national stature;
- Key staff of congressional committees, and principal assistant to senators and representatives;

- Elected or appointed representatives of State and local governments;

- Nationally recognized journalists of major metropolitan, regional, or national newspapers, magazines, television, or radio media;

- Senior level or executive level heads of bureaus and higher level organizations in other Federal agencies.

Purpose of Contacts

The purpose is to influence, motivate, or persuade persons or groups to accept opinions or take actions related to advancing the fundamental goals and objectives of the program or segments directed. Contacts may involve the commitment or distribution of major resources, competing objectives, resource limitations or reductions, or comparable issues. Person contacted come from a variety of backgrounds and have different perspectives. The exchange of information will require highly developed communication skills, negotiation, conflict resolution, leadership, and similar skills in order to obtain the desired results.

Difficulty of Typical Work Directed

The highest graded non-supervisory work directed, which requires at least 25% of this position's duty time, is GS-13 or higher level, or equivalent.

Other Conditions

Supervision and oversight involves exceptional coordination and integration of a number of very important and complex program segments or programs of professional, scientific, technical, managerial, or administrative work comparable in difficulty to GS-13 or higher level, or equivalent. Supervision and resource management involve major decisions and actions that have a direct and substantial effect on the organizations and programs managed.

OR

This position manages through subordinate supervisors and/or contractors who each direct workloads comparable to GS-12 or higher.

Confidential Assistant
Executive Staff
SK-301-13

Introduction

ES-200

The purpose of this position is to provide the Chairman with a Confidential Assistant who will assist him and his staff in exploring, analyzing and reviewing the many varied, complex and complicated problems which are presented for action and study, and in handling Congressional, interdepartmental, and general public and industrial relations. The incumbent is exposed to many matters of a highly sensitive and confidential nature and therefore is expected to regularly exercise a high degree of discretion and judgment.

The responsibilities of this position are complicated by the fact that the Chairman performs a dual function, i.e., he serves as full-time Commissioner and as "chief executive officer of the Commission." In the latter role, as the titular and administrative head of the Commission pursuant to Reorganization Plan 10, the Chairman occupies a position, which invites to his office considerably more public contact, and involves more administrative problems, than those of the Commissioners.

Duties

Acts as liaison between the Office of the Chairman and the Division and Staff Offices for the purpose of coordinating work being done on a particular project or program which the Commission, the Chairman or his staff has referred to them, as well as to keep the Chairman and his staff currently advised as to the status of work programs, particular projects, problems arising, and the overall policy aspects involved. Reports to the Chairman orally or by memorandum, making recommendations when required by the problem involved. Performs liaison work with other government agencies of a classified nature and with committees or other organizations of which the Chairman is a member.

Serves as principal contact in the Chairman's Office for contacts within the agency such as the Commissioner's Offices, the offices of other members of the Executive Staff, the Division Directors and their staffs, and on the outside, Senators, Congressmen, the White House, various Government agencies, agency Regional Offices, officials of large corporations and others, who may call in person at the office or make inquiries by telephone. Incumbent is responsible for identifying and understanding the subject matter of the inquiry or contact and disposes of the contact in accordance with good judgment and in a manner compatible with agency policies and procedures, giving information and answering inquiries relative to activities and objectives of the Commission, or obtaining and relaying specific information required. Exercises considerable tact, judgment, and discretion in the release of information to persons outside the agency, since the improper disclosure of information could have the most serious embarrassing effects. Based on an intimate knowledge of the Chairman's views and current interests, reviews correspondence, memoranda and other material to insure conformance with his preferences. Incumbent resolves conflicts personally, as directed by the Chairman.

Obtains and presents information for the Chairman, or answers outside inquiries, particularly from Senators or Congressmen, on such subjects as whether certain cases are pending before the Commission, whether there are any technical problems to be met, whether there are amendments to be filed, date of last filing, present status of the case, etc., in securing other information needed by the Chairman,

makes calls to Congressional Committees, other Government agencies and members of the industry, and secures information from the various operating Divisions, from the library, etc. Assembles and maintains for the Chairman's convenience information regarding interpretations rendered under each section of the Acts the agency administers, proposed and pending rule changes, etc.

Executes confidential assignments for the Chairman, which may be administrative or substantive in nature. Independently determines sources of needed material and information and methods for conducting the study or inquiry. Advises the Chairman of the findings, as well as recommendations for disposition of the matter in question.

Prepares a schedule of activities for the coming month for the Chairman, adding to it daily and making changes and rearranging his schedule as necessary, often without any direct supervision. Begins preparing and assembling material on meetings which may be scheduled months in advance. Keeps the Chairman constantly alerted to all pressing and significant matters requiring his attention, and initiates or reminds him of essential follow-up actions as a result of decisions reached. These duties require incumbent to keep current on newspapers, periodicals, news releases, etc., concerning the work of the Securities and Exchange Commission, the national stock exchanges, and actions of the various state securities commissions; to follow legislative hearings, minutes of, Commission actions and decisions, Commission notices and releases, and other matters that may have an effect on the policies of the Commission, in addition to day-to-day correspondence and interoffice communications.

Handles independently all details preceding and following the Chairman's fulfilling numerous speaking engagements, participating in regional office conferences, attending conventions of nationally recognized groups and associations, etc. These details include assembling material for speeches, drafting letters concerning acceptance or rejection of invitations, arranging hotel accommodations, preparing biographical information to be shown on programs of conferences and conventions, drafting thank-you notes, preparing itineraries and travel reservations and, upon the Chairman's return, compiling necessary information to draw up travel vouchers.

Screens correspondence and memoranda, which have been referred to the Chairman. Prepares replies to a portion of them and referring others Divisions or Offices for reply for signature of the Chairman.

Attends meetings and conferences with, or in lieu of, the Chairman, sees that material has been prepared for discussion, takes notes on essential matters presented, and follows through for the Chairman in making necessary contacts, and preparing reports for the Chairman to use in making necessary recommendations, proposals or decisions. Has general responsibility for and oversight of actual disposition of Congressional inquiries and all other Chairman's Office correspondence.

Serves as coordinator of the Chairman's staff schedules, so that the incumbent may apprise the Chairman and all members of the Chairman's staff when and where their presence at meetings, conferences, and general Commission functions will be required.

In the absence of the staff member designated to perform administrative-type duties typing, time-and-attendance, record keeping, etc.), assumes such functions on a temporary basis.

Has responsibility for assuring timely completion by secretarial assistants of assignments for the Chairman and determining the priority of such assignments.

SUPERVISION AND GUIDANCE RECEIVED

Incumbent works under limited supervision and in most of the assignments must rely upon his/her own personal judgment. This position recognizes the high degree of tact, intelligence, diplomacy, judgment and initiative required of a person serving in a confidential relationship to the Chairman of the Securities and Exchange Commission; dealing effectively with Members of Congress, high officials of other departments and agencies of the Federal Government, state agencies, and representatives of corporations and business organizations; and in rendering efficient administrative assistance to the Chairman.

QUALIFICATIONS REQUIRED

The incumbent must have a good working knowledge of the organization and functions of the Commission and the relationships of the Divisions and Offices to each other. Must have a high degree of tact, good judgment, initiative and resourcefulness. Stenographic and typing skills must be excellent, since the finished product represents the highest office of the Commission. Must also be proficient in the use of automated equipment to produce documents and to enter and extract information from computerized files.

DIRECTOR OF COMMUNICATIONS

SO-905

INTRODUCTION

The Director of Communications serves as an advisor to the Chairman and the Commission in coordinating the framing of the Commission's policies and the communication of these policies to the agency's multiple constituencies. Among other responsibilities, the incumbent will assist the Chairman and the Commission in managing its relationships with, and communicating policies to, Congress and the Administration, as well as other federal, state, and local agencies, foreign regulatory bodies and the Commission's regulatory constituents, including the securities industry, corporate America, self-regulatory organizations, and public investors. The Communications Directorate will supervise the Office of Public Affairs (OPA).

This is a Schedule C position because it involves carrying out assignments that require a current and confidential knowledge of the Chairman's and Commission's policy with respect to programs and activities. The incumbent will not be able to adequately perform the duties of the position without being privy to the political, personnel and management philosophies of the Chairman.

DUTIES

In general, the incumbent will serve as an advisor to the Chairman and the Commission and coordinate the activities of OPA and other SEC divisions, as appropriate, in achieving short- and long-term policies and goals of the Commission. In addition, the incumbent will –

1. Work with OPA and other SEC divisions in conducting all legislative and policy activities on Capitol Hill, including the supervision of briefings, written communications and legislative proposals before the Congress.
2. Establish, develop and maintain communications and working relationships with other Executive Branch departments and agencies, both in conducting current and on-going Commission activities as well as interagency or legislative activities significant to the Commission.

3. Develop new and enhance on-going communications with self-regulatory organizations, state and local regulatory agencies and departments, particularly with respect to current and on-going Commission initiatives and activities.
4. Build relationships with foreign regulatory agencies in order to keep the Commission aware of activities that affect the regulatory competitiveness of U.S. markets.
5. Create avenues for on-going dialogue with the regulatory constituencies of the Commission, both to exchange information on the Commission's current activities and initiatives and to channel concerns for appropriate action by the Commission.

SUPERVISION AND GUIDANCE RECEIVED

The Director of Communications is responsible to, and works under the general policy direction of the Chairman. The incumbent coordinates the management and activities with the Office of Public Affairs, with latitude for exercising initiative and judgment in carrying out assigned duties.

Knowledge Required

Applicants must possess a J.D. or LL.B. degree and be an active member of the Bar in good standing in any state, territory of the United States, the District of Columbia, or the commonwealth of Puerto Rico.

Secretary
Office of Commissioner
GS-318-08

DES-1816

The purpose of this position is to provide the Commissioner with a Secretary who will assist that official in exploring, analyzing, and reviewing the many varied, complex and complicated problems which are presented to the Commission for action and study, and in handling Congressional, interdepartmental, and general public and industrial relations. The responsibility for the general administrative management of the office is complicated by the fact that the Commissioner is absent from the office on official business or at Commission meetings and hearings for approximately 75% of the time. The incumbent operates under the limited supervision of the Commissioner and in most instances must rely upon his/her own personal judgment; but has full trust and confidence of the Commissioner.

Duties

Performs the secretarial duties for the Commissioner and his/her staff. Receives calls and visitors to the office; refers appropriate staff member or personally provides information on routine matters. Refers incoming action items exercising judgment in assessing priorities and sensitivity of issues.

Serves as principal contact in the Commissioner's office for contacts within the Agency such as the Chairman's Office, the offices of other members of the Executive Staff, including Commissioners, the Division Directors and their staffs, and on the outside, Senators, Representatives, the White House, various Government agencies, who may call in person at the office or make inquiries by telephone.

Reviews the Commission Calendar, which is circulated each evening. Ensures Commissioner has all pertinent material that will be discussed at those meetings, on his/her desk, prior to that day.

Remains cognizant of all matters relating to the functioning of the Office of the Commissioner, and keeps appropriate staff members advised of matters requiring their attention.

Is responsible for the typing of correspondence, memoranda, charts, speeches, and reports. Material typed will frequently involve highly specialized legal and economic terminology and may be of a confidential nature regarding extremely important and urgent matters.

Incumbent is independently responsible for preparing the material in its final form according to prescribed style and format requirements. Obtains and attaches any supplemental information or exhibits. As required, makes notes of telephone conversations and conferences.

Serves as a liaison between professional staff members in the Office of the Commissioner and the staff of the operating divisions and offices. Advises division and staff office personnel of input required, policies, and precedents to be followed and preferences of the Commissioner's

staff. Follows up on projects in progress to ensure that information is submitted in sufficient time to permit proper consideration.

Coordinates internal distribution of all Division/Office memoranda, which are to receive Commission review as scheduled on the calendar. This coordination requires regular liaison with the Office of the Secretary.

Regarding memoranda scheduled for calendar consideration, determines appropriate statutory, rule, and regulation citations bearing upon the issue to be considered and provides the legal assistant with proper summaries of such citations from available reference sources.

Knowledge Required

Knowledge of the organization and functions of all elements of the Commission and their relationship to one another.

Knowledge of administrative procedures such as preparing travel orders and vouchers; entering time and attendance; and familiarity with STATS and time tracking systems.

Skill in the use of office automation equipment (including personal computers and applications software) and processes.

Must possess a high degree of tact, good judgment, initiative and resourcefulness in order to anticipate and provide for the needs of the Commissioner's legal staff.

Ability to work in an atmosphere of constant pressure imposed by short deadlines. Must be well-organized and attentive to details. Incumbent must be able to communicate clearly and effectively in writing and orally. Incumbent must also be able to work effectively with the Executive Staff and high level officials of other offices at all organizational level both inside/outside the Commission.

Must be a qualified typist.

Must work occasional overtime when the priorities of the Commissioner's Office so require.

Supervisory Controls

Incumbent works under the direct supervision of the Commissioner. The supervisor schedules and establishes time frames for the completion of assignments, assigns studies or segments of studies which will be independently conducted; discusses objectives sought; provides general instructions for directives to be utilized; and resolves technical problems. Work is spot checked while in progress and completed work is reviewed by the supervisor to determine accuracy of coverage, soundness of judgment, and compliance with controlling policies and directives. Routine tasks are conducted independently by the incumbent who is responsible for keeping the supervisor apprised of unusual or difficult issues encountered.

Guidelines

Guidelines consist of readily available directives, manuals, local and higher echelon instructions. Guidance concerning new work assignments not covered by controlling publications and directives or unusual technical problems is provided by the supervisor. Incumbent is expected to use discretion and sound judgement when determining any deviation from established procedures.

Complexity

The work involves duties requiring processes related to administrative and program support. Decisions regarding what actions to take or recommend must be made by using the correct guideline or regulation. Requires application of accepted techniques for the conduct of administrative and organizational reviews.

Scope and Effect

The purpose of the work is to act as a liaison between the Office of the Commissioner and the Division and Staff Offices for the purpose of coordinating the work being done on a particular project or program which the Commissioner has referred as well as keep the Commissioner currently advised as to the status of work programs.

Personal Contacts

Primary contacts are with the Commissioner and his/her staff; the Chairman's office, other divisions within the Commission; as well as high level officials both inside/outside the Commission.

Purpose of Contacts

Contacts are used as sources of information, advice and counsel in performing duties. Incumbent will also be providing information and recommendations to the persons mentioned above.

Physical Demands

The work is generally sedentary although some physical effort is required to move about the building in connection with property and space management matters and for carrying files, books, and other common office materials.

Work Environment

The work is performed in an office environment.

INTRODUCTION:

The purpose of this position is to provide the Commissioner with a Confidential Assistant who will assist that official in exploring, analyzing and reviewing the many varied, complex and complicated problems which are presented to the Commission for action and study, and in handling Congressional, interdepartmental, and general public and industrial relations. The responsibility for the general administrative management of the office is complicated by the fact that the Commissioner is absent from the office on official business or at Commission meetings and hearings for approximately 75% of the time. The incumbent operates under the limited supervision of the Commissioner and in most instances must rely upon his/her own personal judgment; but has full trust & confidence of Commissioner

Duties

Acts as liaison between the Office of the Commissioner and the Division and Staff Offices for the purpose of coordinating the work being done on a particular project or program which the Commissioner has referred to them, as well as to keep the Commissioner currently advised as to the status of work programs, particular projects, problems arising, and the overall policy aspects involved. Reports to the Commissioner orally or by memorandum, making recommendations when required by the problem involved. Performs liaison work with other government agencies of a classified nature and with committees or other organizations of which the Commissioner is a member.

Serves as principal contact in the Commissioner's office for contacts within the Agency such as the Chairman's Office, the offices of other members of the Executive Staff, including Commissioners, the Division Directors and their staffs, and on the outside, Senators, Representatives, the White House, various Government agencies, Agency Regional Offices, officials of large corporations and others, who may call in person at the office or make inquiries by telephone. Disposes of the contact in accordance with good judgment and in a manner compatible with Agency policies and procedures, giving information and answering inquiries relative to activities and objectives of the Commission, or obtaining and relaying specific information required. Exercises considerable tact, judgment, and discretion in the release of information to persons outside the Agency as the improper disclosure of information could have the most serious and embarrassing effects.

Reviews the Commission Calendar which is circulated each evening. Before the Commission meeting the following morning, makes certain that the Commissioner has on his desk all material pertinent to the matters to be discussed at the meeting that day.

Reviews the Official Minutes of all Commission Meetings in order to keep informed of actions taken and pending and to note assignments which are carried out; from the Minutes assembles particular information such as with regard to cases in which there is a split vote of the Commission, where there is a dissent or extremely controversial matter, or merely a case which is of special interest to the Commissioner, in order to insure that such information is readily available upon request.

Obtains and presents information for the Commissioner, or answers outside inquiries, particularly from Senators or Congressmen, on such subjects, e.g. as whether certain cases are pending before the Commission, whether there are any technical problems to be met, whether there are amendments to be filed, date of last filing, present status of the case, etc. In securing other information needed by the Commissioner, makes calls to Congressional Committees, other Government agencies and members of the industry, and secures information from the various operating divisions, from the library, etc. Assembles and maintains for the Commissioner's convenience information regarding interpretations rendered under each section of the Acts the Agency administers, proposed and pending rule changes, etc.

Monthly, prepares a schedule of activities for the coming month for the Commissioner, adding to it daily and making changes, rearranging his schedule as necessary. On the basis of the review of the Commission Calendar and Minutes, begins preparing and assembling material on meetings which may be scheduled months in advance. Keeps the Commissioner constantly alerted to all pressing and significant matters requiring his/her attention, and initiates or reminds him/her of essential follow-up actions as a result of decisions reached. These duties require incumbent to keep current on newspapers, periodicals, news releases, etc., concerning the work of the securities and Exchange Commission, the national stock exchanges, and actions of the various state securities commissions; to, follow legislative hearings minutes of Commission actions and decisions, Commission notices and releases, and other matters that may affect policies of the Commission, in addition to day-to-day correspondence and inter-office communications.

Handles independently all details preceding and following the Commissioner's fulfilling numerous speaking engagements, participating in regional office conferences, attending conventions of nationally recognized groups and associations etc. These details include assembling material for speeches, drafting of letters concerning acceptance or rejection of invitations, arranging hotel accommodations, preparing biographical information to be shown on programs of conferences and conventions, drafting thank you notes, preparing itineraries and travel reservations, and upon the Commissioner's return, the compiling of necessary information to draw up travel vouchers.

Prepares replies to inquiries or originates other Correspondence as required; reviews all correspondence and documents coming to the Commissioner for approval or signature to ascertain before it is presented whether the submitted material comes within his/her jurisdiction under the divisions of responsibility and authority as set out in the regulations of the Commission, and also to check correctness of contents, form, etc.; attends to confidential files of the Commissioner's office; takes and transcribes the most difficult dictation of a technical and confidential nature; handles personal matters for the Commissioner; and performs such other related duties as may be assigned.

QUALIFICATIONS REQUIRED

This position recognizes the high degree of tact, intelligence, diplomacy, judgment and initiative required of a person serving in a confidential relationship to a Member of the Securities and Exchange Commission in coping with problems; dealing effectively with Members of Congress, high officials of other departments and agencies of the Federal Government, State agencies, and representatives of corporations and business organizations; and in rendering efficient administrative assistance to the Commissioner.

Since the position involves dealing with matters of the most controversial and/or secret nature and of the greatest national and international importance, often security-wise, incumbent must be possessed of an informed, critical and balanced judgment in addition to an extensive knowledge of the field of securities, the various Acts administered by the Commission and the rules and regulations thereunder.

SUPERVISION RECEIVED

The incumbent works under the very broad direction of a Commissioner. Most day-to-day work matters are handled independently; however, incumbent may seek general guide on especially controversial matters offering own views as to a course of action to follow. Work is only reviewed in terms of its impact on the daily operations of the office.

Introduction

The purpose of this position is to provide the Chief of Staff with a Confidential Assistant who will assist him and the Chairman's staff in exploring, analyzing and reviewing the many varied, complex and complicated problems which are presented for action and study, and in handling Congressional, interdepartmental, and general public inquiries. The incumbent is exposed to many matters of a highly sensitive and confidential nature and therefore is expected to regularly exercise a high degree of discretion, tact and diplomacy at all times.

The responsibilities of this position are complicated by the fact that the Chief of Staff serves as a screen for all matters coming before the Chairman. The Chief of Staff's duties transcend all organizational lines within the Commission. It involves a wide range of legal and regulatory, as well as administrative management issues.

Duties

Acts as liaison between the Chief of Staff and the Division and Staff Offices for the purpose of coordinating work being done on a particular project or program which the Chief of Staff, the Chairman or his staff has referred to them, as well as to keep the Chief of Staff currently advised on the status of work programs, particular projects, problems arising, and the overall policy aspects involved. Reports to the Chief of Staff orally or by memorandum, making recommendations when required by the problem involved. Performs liaison work with other government agencies of a classified nature and with committees or other organizations of which the Chief of Staff is a member.

Screens all calls and inquiries to the Chief of Staff. Incumbent is responsible for identifying and understanding the subject matter of the inquiry or contact and disposes of the contact in accordance with good judgment and in a manner compatible with agency policies and procedures, giving information and answering inquiries relative to activities and objectives of the Commission, or obtaining and relaying specific information required. Exercises considerable tact, judgment, and discretion in the release of information to persons outside the agency, since the improper disclosure of information could have the most serious embarrassing effects.

Based on an intimate knowledge of the Chief of Staff's views and current interests, reviews correspondence, memoranda and other material to insure conformance with his preferences. Resolves conflicts personally, as directed by the Chief of Staff.

Reviews the Commission Calendar, which is circulated each evening. Before the Commission meeting the following morning, makes certain that the Chief of Staff has on his desk all material pertinent to

the matters to be discussed at the meeting that day. Reviews the Official Minutes of all Commission assignments which are made in order to follow up and see that these assignments are carried out; from the Minutes assembles particular information such as with regard to cases in which there is a split vote of the Commission or where there is particular interest on the part of the Chairman, in order to insure that such information is readily available upon request.

Obtains and presents information for the Chief of Staff, or answers outside inquiries, particularly from Senators or Congressmen, on a variety of subjects. Secures information from the Divisions, Staff Offices, the library, etc. Assembles and maintains for the Chief of Staff's convenience information regarding interpretations on any technical materials.

Executes confidential assignments for the Chief of Staff which may be administrative or substantive in nature. Independently determines sources of needed material and information and methods for conducting the study or inquiry. Advises supervisor of her findings, as well as her recommendations for disposition of the matter in question.

Prepares a schedule of activities for the coming month for the Chief of Staff, adding to it daily and making changes and rearranging his schedule as necessary, often without any direct supervision. On the basis of the review of the Commission Calendar and Minutes, begins preparing and assembling material on meetings which may be scheduled months in advance. Keeps the Chief of Staff constantly alerted to all pressing and significant matters requiring his attention, and initiates or reminds him of essential follow-up actions as a result of decisions reached. These duties require incumbent to keep current on newspapers, periodicals, news releases, etc., concerning the work of the Securities and Exchange Commission, the national stock exchanges, and actions of the various state securities commissions; to follow legislative hearings, minutes of Commission actions and decisions, Commission notices and releases, and other matters that may have an effect on the policies of the Commission, in addition to day-to-day correspondence and interoffice communications.

Handles independently all details preceding and following the Chief of Staff engagements, participating in regional office conferences, attending conventions of nationally recognized groups and associations, etc. These details include assembling material for speeches, drafting letters concerning acceptance or rejection of invitations, arranging hotel accommodations, preparing biographical information to be shown on programs of conferences and conventions, drafting thank-you notes, preparing itineraries and travel reservations and, upon the Chief of Staff's return, compiling necessary information to draw up travel vouchers.

Screens correspondence and memoranda which has been referred to the Chief of Staff, preparing replies to a portion of them, referring them as appropriate to other Executive Staff members when they require legal advice, and routing others to Divisions or Offices for reply.

Attends meetings and conferences with the Chief of Staff. Ensures that material has been prepared for discussion, takes notes on essential matters presented, and follows through for the Chief of Staff in making necessary contacts, and preparing reports for his use in making necessary recommendations, proposals or decisions.

Is responsible for the general administrative management of the Chairman's Office, including the selection, training, and supervision of secretarial assistants; such supervision is more of a general nature since, after establishing policies and procedures, the incumbents of such positions are expected to perform their assignments in accordance with such policies and procedures. Monitors the performance of all secretarial assistants in order to effectively delegate priority assignments.

In the absence of the secretarial staff member designated to perform administrative-type duties (e.g., time-and-attendance recordkeeping, etc.), assumes such functions on a temporary basis.

SUPERVISION AND GUIDANCE RECEIVED

Incumbent works under limited supervision and in most of the assignments must rely upon her own personal judgment. This position recognizes the high degree of tact, intelligence, diplomacy, judgment and initiative required of a person serving in a confidential relationship to the Chief of Staff in the Office of the Chairman of the Securities and Exchange Commission; dealing effectively with Members of Congress, high officials of other departments and agencies of the Federal Government, State agencies, and representatives of corporations and business organizations; and in rendering efficient administrative assistance to the Office of the Chairman.

QUALIFICATIONS REQUIRED

The incumbent must have a good working knowledge of the organization and functions of the Commission and the relationships of the divisions and offices to each other. Must have a high degree of tact, good judgment, initiative and resourcefulness. Stenographic and typing skills must be excellent, since the finished product represents the highest office of the Commission.

Introduction

The purpose of this position is to provide the Division Director with a personal and confidential secretary to assist in carrying out the duties and responsibilities of that office.

Major Duties

Acts as liaison between the supervisor and staff members and other divisions and offices for the purpose of coordinating the work of a particular project or program and for keeping the supervisor informed of the status, problems and overall policy aspects. Prepares oral or written reports of the progress and makes recommendations for solutions to problems. Informs staff of supervisor's views and concerns, scheduling meetings, relaying and gathering information. Develops procedures for subordinate offices and branches to ensure smooth and efficient interaction.

Composes correspondence, drafts letters and acknowledges receipt of all personal correspondence and signs for supervisor when content is known to be in accordance with supervisor's policies and wishes. Prepares replies to inquiries or originates other correspondence as required.

For all correspondence coming to the supervisor for approval or signature, reviews for adherence to Commission and division policy, as well as for the format and grammatical aspects. Serves as point of final review and authority for preparation of memorandum and outgoing correspondence on such matters as format, punctuation and grammatical construction. Trains secretaries through periodic review of their work.

Receives incoming calls for the Director; ascertains the purpose of the call or visit and determines which calls must be directed to the supervisor, which can be taken care of personally and which can be referred. Gathers all background material for supervisor before routing calls. When possible provides information to caller without routing call.

Arranges conferences, subject only to later confirmation; informs participants of topics to be discussed and provides background information to them; keeps calendar of appointments.

Reviews incoming mail to the Director's office; determines which should be delegated to subordinate organizations, which should be routed to the Director and which to retain for personal response. Keeps a log of mail and records its disposition. Obtains from files and other sources any pertinent previous correspondence or information and attaches this material to correspondence for response by Director or subordinates.

Advises staff members of date and time scheduled for appearances before Commission; advises of action taken by the Commission on

Division recommendations. Prepares and transmits required information to supervisor. Distributes Commission decisions to staff members.

Sets up and maintains files, records and indexes. Revises, rearranges and expands a variety of subject matter files. Keeps control and follow-up records covering all correspondence and actions and all matters sent to the Commission table.

Ensures all social obligations are met; sends invitations, makes reservations, plans itineraries, arranges for seating and space. Settles accounts with hotels and restaurants.

Obtains information when sources are obscure, limited or scattered in numerous documents. The source of information may be difficult to locate. Organizes material and draws attention to the most significant items. Uses discretion in dealing with confidential and non-public information.

Studies subordinate organizations to eliminate conflicts and duplication in office procedures and work flow. Establishes and implements new procedures to create smooth work flow among the subordinate branches and offices.

Uses personal computer to prepare reports and correspondence and to create files for own work and for supervisor.

Factor 1. Knowledge Required by the Position

Thorough knowledge of the activities of the division, the organization of the Commissions the functions of the various divisions and office and the interrelationships among them.

Knowledge of administrative concepts, principles and practices to establish office procedures.

Thorough knowledge of division procedures and policies and supervisor's programs and policies to follow up on projects, makes recommendations and review outgoing correspondence.

Knowledge of grammar, punctuation and formats to ensure correctness of outgoing correspondence. Skill in use a personal computer to produce reports, correspondence and other information for division use. A qualified typist is required.

Factor 2, Supervisory Controls

The incumbent works under the general supervision of the division director who assigns work by establishing overall objectives and

standing assignments. The incumbent plans and carries out the tasks without direction as to methods. Work is review for overall effectiveness.

Factor 3, Guidelines

Guidelines include administrative manuals, written and unwritten Commission and division policy and supervisor's unwritten policies. The incumbent applies judgment when solving problems, responding to inquiries and coordinating the work of subordinate organizations and adapts guidelines as necessary.

Factor 4, Complexity

The incumbent acts as a liaison between the director and the staff and other organizations outside the division, gathers information, prepares reports, ensures a smooth flow of work within the division, arranges for conferences and maintains files and other information within the office.

The incumbent accomplishes the work independently, planning the execution based on evaluation of priorities, goals of the office and the complexity of the task or problem.

Factor 5, Scope and Effect

The primary purpose of this position is to coordinate activities among the subordinate offices to ensure problems are resolved and the work is progressing as scheduled. The procedures developed by the incumbent ensure accomplishment of the program goals of the division. The liaison responsibilities outside the division contribute to the successful accomplishment of the mission of the agency.

Factor 6, Personal Contacts

Contacts include officials of corporations, attorney, professional organization, other government officials, representatives of foreign securities agencies and Congressional offices. Contacts are for a variety of purposes relating to the program activities of the division. The incumbent uses tact and judgment in handling each contact.

Factor 7, Purpose of Contacts

The purpose of the contacts is to plan, coordinate or advise on work efforts or to resolve operating problems. The incumbent arranges conferences, coordinates completion of reports and responses to correspondence.

Factor 8, Physical Demands

The work is primarily sedentary; but some walking, bending and carrying of light items may be necessary.

Factor 9, Work Environment

The incumbent works in a typical office setting.

INTRODUCTION:

The purpose of this position is to provide the Commissioner with a Confidential Assistant who will assist that official in exploring, analyzing and reviewing the many varied, complex and complicated problems which are presented to the Commission for action and study, and in handling Congressional, interdepartmental, and general public and industrial relations. The responsibility for the general administrative management of the office is complicated by the fact that the Commissioner is absent from the office on official business or at Commission meetings and hearings for approximately 75% of the time. The incumbent operates under the limited supervision of the Commissioner and in most instances must rely upon his/her own personal judgment.

Duties

Acts as liaison between the Office of the Commissioner and the Division and Staff Offices for the purpose of coordinating the work being done on a particular project or program which the Commissioner has referred to them, as well as to keep the Commissioner currently advised as to the status of work programs, particular projects, problems arising, and the overall policy aspects involved. Reports to the Commissioner orally or by memorandum, making recommendations when required by the problem involved. Performs liaison work with other government agencies of a classified nature and with committees or other organizations of which the Commissioner is a member.

Serves as principal contact in the Commissioner's office for contacts within the Agency such as the Chairman's Office, the offices of other members of the Executive Staff, including Commissioners, the Division Directors and their staffs, and on the outside, Senators, Representatives, the White House, various Government agencies, Agency Regional Offices, officials of large corporations and others, who may call in person at the office or make inquiries by telephone. Disposes of the contact in accordance with good judgment and in a manner compatible with Agency policies and procedures, giving information and answering inquiries relative to activities and objectives of the Commission. or obtaining and relaying specific information required. Exercises considerable tact, judgment, and discretion in the release of information to persons outside the Agency as the improper disclosure of information could have the most serious and embarrassing effects.

Reviews the Commission Calendar which is circulated each evening. Before the Commission meeting the following morning, makes certain that the Commissioner has on his desk all material pertinent to the matters to be discussed at the meeting that day. Reviews the Official Minutes of all Commission Meetings in order to keep informed of actions taken and pending and to note assignments which are carried out; from the Minutes assembles particular information such as with regard to cases in which there is a split vote of the Commission, where there is a dissent or extremely controversial matter, or merely a case which is of special interest to the Commissioner, in order to insure that such information is readily available upon request.

Obtains and presents information for the Commissioner, or answers outside inquiries, particularly from Senators or Congressmen, on such subjects, e.g. as whether certain cases are pending before the Commission, whether there are any technical problems to be met, whether there are amendments to be filed, date of last filing, present status of the case, etc. In securing other information needed by the Commissioner, makes calls to Congressional Committees, other Government agencies and members of the industry, and secures information from the various operating divisions, from the library, etc. Assembles and maintains for the Commissioner's convenience information regarding interpretations rendered under each section of the Acts the Agency administers, proposed and pending rule changes, etc.

Monthly, prepares a schedule of activities for the coming month for the Commissioner, adding to it daily and making changes, rearranging his schedule as necessary. On the basis of the review of the Commission Calendar and Minutes, begins preparing and assembling material on meetings which may be scheduled months in advance. Keeps the Commissioner constantly alerted to all pressing and significant matters requiring his/her attention, and initiates or reminds him/her of essential follow-up actions as a result of decisions reached. These duties require incumbent to keep current on newspapers, periodicals, news releases, etc., concerning the work of the Securities and Exchange Commission, the national stock exchanges, and actions of the various state securities commissions; to follow legislative hearings minutes of Commission actions and decisions, Commission notices and releases, and other matters that may affect policies of the Commission, in addition to day-to-day correspondence and inter-office communications.

Handles independently all details preceding and following the Commissioner's fulfilling numerous speaking engagements, participating in regional office conferences, attending conventions of nationally recognized groups and associations. etc. These details include assembling material for speeches, drafting of letters concerning acceptance or rejection of invitations, arranging hotel accommodations, preparing biographical information to be shown on programs of conferences and conventions, drafting thank-you notes, preparing itineraries and travel reservations, and upon the Commissioner's return, the compiling of necessary information to draw up travel vouchers.

Prepares replies to inquiries or originates other correspondence as required; reviews all correspondence and documents coming to the Commissioner for approval or signature to ascertain before it is presented whether the submitted material comes within his/her jurisdiction under the divisions of responsibility and authority as set out in the regulations of the Commission, and also to check correctness of contents, form, etc.; attends to confidential files of the Commissioner's office; takes and transcribes the most difficult dictation of a technical and confidential nature; handles personal matters for the Commissioner; and performs such other related duties as may be assigned.

QUALIFICATIONS REQUIRED

This position recognizes the high degree of tact, intelligence, diplomacy, judgment and initiative required of a person serving in a confidential relationship to a Member of the Securities and Exchange Commission in coping with problems; dealing effectively with Members of Congress, high officials of other departments and agencies of the Federal Government, State agencies, and representatives of corporations and business organizations; and in rendering efficient administrative assistance to the Commissioner.

Since the position involves dealing with matters of the most controversial and/or secret nature and of the greatest national and international importance, often security-wise, incumbent must be possessed of an informed, critical and balanced judgment in addition to an extensive knowledge of the field of securities, the various Acts administered by the Commission and the rules and regulations thereunder.

SUPERVISION RECEIVED

The incumbent works under the very broad direction of a Commissioner. Most day-to-day work matters are handled independently; however, incumbent may seek general guidance on especially controversial matters offering own views as to a course of action to follow. Work is only reviewed in terms of its impact on the daily operations of the office.